

**CALIFORNIA STATE LIBRARY**

**LIBRARY SERVICES AND TECHNOLOGY ACT**  
**STATEWIDE GRANT APPLICATION INSTRUCTIONS**

**FISCAL YEAR 2020-2021**

## Introduction

Welcome to the Library Services and Technology Act Grant process. The following guide will provide you with all of the information you need to complete your grant application.

This Instruction Guide Contains:

- Basic Overview (page 2)
- Application Instructions (pages 3-10)
- Application Submission Instructions (page 10)
- Next Steps: Claims Process (pages 10-11)
- DUNS Number (Data Universal Number System) (Attachment A)
- Table for Estimating Time Allocations (FTE) (Attachment B)
- Restrictions on the Use of LSTA Grant Funds (Attachment C)
- Key Definitions for LSTA Grant Applications (Attachment D)

Please be sure to read over this instruction guide carefully before you begin filling out the application. It is important that all of the instructions are followed.

## Basic Overview

### Library Services and Technology Act

The Museum and Library Services Act of 2010 (<https://www.gpo.gov/fdsys/pkg/PLAW-111publ340/content-detail.html>) federally mandates the support and development of museums and libraries nationally. Each year the California State Library receives a Library Services and Technology Act (LSTA) grant from the Institute of Museum and Library Services to support the development of California libraries.

The California grant program is based on the purposes of the Museum and Library Services Act, which include:

- Expanding services for learning and access to information and educational resources in a variety of formats, in all types of libraries, for individuals of all ages;
- Developing library services that provide all users access to information through local, State, regional, national, and international electronic networks;
- Providing electronic and other linkages among and between all types of libraries;
- Developing public and private partnerships with other agencies and community-based organizations;
- Targeting library services to individuals of diverse geographic, cultural, and socioeconomic backgrounds, to individuals with disabilities, and to individuals with limited functional literacy or information skills;
- Targeting library and information services to persons having difficulty using a library and to underserved urban and rural communities, including children (from birth through age 17) from families with incomes below the poverty line.

In accordance to the Museum and Library Services Act, California has a State Plan for LSTA (2018-2022) (<http://www.library.ca.gov/Content/pdf/grants/lsta/CaliforniaFiveYearPlan2018-2022.pdf>) which outlines our goals, objectives, and evaluation process for the funding. This plan is developed every five years with input from the library community. The priorities of this grant cycle are taken from the State Plan for LSTA. A copy of this plan is provided with this application for your convenience.

## Application Instructions

The Library Services and Technology Act Grant Application is divided into the following items:

- Items 1-19: Basic Information
- Item 20: Project Background and Summary
- Item 21: Partnership
- Item 22(A-F): Planning and Evaluation
- Item 23: Grant Timeline/ Activities
- Item 24: Budget
- Item 25: LSTA Grants Risk Self-Assessment
- Item 26: Grant Application and Attachments
- Item 27: Internet Certification and Signature

Please read the instructions for each element carefully. It is important that you are as complete and concise as possible, so that the California State Library will understand your project fully.

### Items 1-19: Basic Information

There are two sections under basic information: Applicant Information and Project Information. The first section (items 1-19) requires all of the basic contact and project information for the grant and will be completed on the online application system Submittable (for item #2 see Attachment A). The second section (items 20-24) provides detailed information of the grant project. This section will be completed in MS Word and then submitted through Submittable. The following are some important notes to follow:

Item #	Title	Notes
1	Library Organization	Must match the name registered with your Federal Employer Identification Number (FEIN).
2	DUNS Number	DUNS is a unique identifier issued by Dun and Bradstreet (attachment A).
3	Project Coordinator	Name of person who will manage the day to day activities of your grant project, and who will serve as the primary point of contact with the State Library.
13	Project Title	A clear and descriptive title is important
14	LSTA Funds Requested	This is the Grand Total from the LSTA column on the application budget page (Element 6).
15	Cash Match & In-Kind	This is the Grand Total from the Cash Match & In-Kind column on the application budget page (Element 6).
16	Total Project Cost	Item #9 + Item #10 = the total cost of project.
17	California's LSTA Goals	Check one goal from the 2018-2022 LSTA Five Year Plan that best describes the project. Briefly list other goals to which your project relates if applicable.
19	Primary Audience	Please identify the audience(s) for this project. Select all that apply.

## Item 20. Project Background and Summary

This element is limited to one page. Provide background on your library jurisdiction and community, the research or assessment you used to identify the need for the project that you are proposing, how you will involve the community, how the project relates to your library jurisdiction's strategic plan, and what will be accomplished if you implement the project. It is very important to be clear and concise in this section because it is the introduction to your project.

## Item 21. Partnership

List all formal partners for your project here. A partner is a cooperating institution, designated through a formal, signed agreement, which contributes resources (materials/funds/staff) to one or more of your project activities as outlined later in the application. Organizations or individuals who are contractors under the project are not considered partners.

Using the table provided in the application, please list each formal partner, and the organizational and legal types, as follows:

Organizational Type (choose one): Library, Historical Society or Organization, Museum, Archives, Cultural Heritage Organization, Preschool, School, Adult Education, Human Service Organization, Other (please specify)

Legal type (choose one): Federal Government, State Government, Local Government (excluding school districts), School District, Non-Profit, Private Sector, Tribe/Native Hawaiian Organization

Briefly describe each partner's role(s) and the resources the partner will contribute. Include a copy of the signed agreement for each partner, indicating that partner's role in the project and the resources the partner will contribute, under Element 7 when you submit your application.

Please also list informal partners (organizations that support your project but with whom you have no formal project agreement). Describe how their contributions will help achieve the project's objectives. Attach letters of support under Element 7.

## Item 22: Planning and Evaluation

This element is limited to four pages. There are six items (A-F) for this element. Planning and evaluating key to making a project successful. It is imperative that you take the time to provide information that demonstrates that your system has truly thought through all of the six items. The following are some important notes for each item.

### 22A. Project Intent

An objective or expected result in a project. The following chart may help you in determining the best project intent.

Only one of the following may be selected.

Intents
<b>Lifelong Learning</b> <ul style="list-style-type: none"><li>• Improve users' formal education</li><li>• Improve users' general knowledge and skills</li></ul>
<b>Information Access</b> <ul style="list-style-type: none"><li>• Improve users' ability to discover information resources</li><li>• Improve users' ability to obtain and/or use information resources</li></ul>
<b>Institutional Capacity</b> <ul style="list-style-type: none"><li>• Improve the library workforce</li><li>• Improve the library's physical and technological infrastructure</li><li>• Improve library operations</li></ul>

<b>Economic &amp; Employment Development</b> <ul style="list-style-type: none"> <li>• Improve users' ability to use resources and apply information for employment support</li> <li>• Improve users' ability to use and apply business resources</li> </ul>
<b>Human Services</b> <ul style="list-style-type: none"> <li>• Improve users' ability to apply information that furthers their personal, family, or household finances</li> <li>• Improve users' ability to apply information that furthers their personal or family health &amp; wellness</li> <li>• Improve users' ability to apply information that furthers their parenting and family skills</li> </ul>
<b>Civic Engagement:</b> <ul style="list-style-type: none"> <li>• Improve users' ability to participate in their community</li> <li>• Improve users' ability to participate in community conversations around topics of concern</li> </ul>

## 22B. Project Purpose

The purpose statement should answer the following questions: We will do what, for whom, for what expected benefit(s).

**Example:** *The Springfield County Library's "It's Never Too Early" program will provide a series of structured activities (including story hours and developmental reading kits) for children ages birth to five and their parent/caregivers to increase the amount of reading time young children have with adults and enable pre-school children to start kindergarten prepared to learn.*

## 22C. Anticipated Project Outputs

Outputs are quantifiable measures of services and/or products to be created/provided. Be sure to include the number of people you anticipate will participate in and/or benefit from each activity, if applicable.

### Examples:

- 3 training workshops will be held; 25 people will attend each workshop
- 100 promotional bookmarks will be created and distributed
- 50 children and caregivers will have participated
- 5 kits will be created and given to each branch
- 15 story hours will be held
- 150 individuals will be trained
- 1,000 photographs will be digitized

## 22D. Project Outcomes

Outcomes are changes in a target audience's skills, knowledge, behavior, attitude, and/or status or life condition. Outcomes measurement is an effective way to measure the impact of your project.

Please select one or more of the uniform outcomes statements listed below associated with the primary California LSTA Five Year Plan goal that you selected under Item 13 in Element 1 of this application. Include any statements related to secondary goals indicated in Item 13. Explain how you will achieve these outcomes through your proposed project (the State Library will provide you with outcomes measurement tools after your grant is awarded).

Goal 1: California libraries provide equitable access to information, services, and resources in a trusted community space.

Outcome 1a: Californians find information, services, and resources at their libraries.

Outcome 1b: Californians view their libraries as trusted community spaces.

Goal 2: California libraries deliver essential literacy services and provide learning opportunities for their communities.

Outcome 2a: Californians discover and participate in essential literacy opportunities at their libraries.

Outcome 2b: Californians discover and participate in learning opportunities at their libraries.

Goal 3: California libraries inspire, support, and engage in innovation, creativity, connections, and collaborations in their communities.

Outcome 3a: Californians innovate through their libraries.

Outcome 3b: Californians create through their libraries.

Outcome 3c: Californians make connections through their libraries.

Outcome 3d: Californians collaborate through their libraries.

Goal 4: California libraries have the technology to deliver information and services in the ways their communities expect and need.

Outcome 4: Californians view libraries as relevant technology hubs for accessing information and services.

Goal 5: California libraries contribute to economic development and workforce innovation in their communities.

Outcome 5: Californians engage in economic development and workforce innovation at their libraries.

Goal 6: California libraries connect Californians to their history and culture by collecting, preserving, and sharing digital access to unique collections and materials that tell the stories of our local communities and celebrate our common heritage.

Outcome 6: No outcome required for this goal.

Goal 7: California libraries are staffed by a skilled and diverse workforce whose member engage in continuing education and leadership development opportunities, deliver high-quality library and information services, and effect positive change in their communities.

Outcome 7: California library staff is well-prepared to meet the diverse needs of their communities and effect [or create] positive changes.

## 22E. Future Funding

State how you will be able to sustain this project beyond the project end date. Include planned sources of funding (relationships with partner organizations, library foundation or friends, additional grant funding, and/or support from your library's ongoing budget).

## 22F. Activity Information

Activities are action(s) through which the intent or objectives of a project are accomplished. Four activity types have been identified with details in the application (Instruction, Content, Planning & Evaluation, Procurement), each with select methods to help you describe how you will carry out this project and further specified by Mode and Format. Please indicate activity types that require a significant commitment of resources to the project (representing 10% or more of total project resources).

Activity	Mode	Format & Definition
1. Instruction	<ul style="list-style-type: none"><li>• Program</li><li>• Presentation/Performance</li><li>• Consultation/Drop-in/Referral</li><li>• Other (describe)</li></ul>	<ul style="list-style-type: none"><li>• In-person (carried out face-to-face)</li><li>• Virtual (mediated by a computer, computer network, or mobile device)</li><li>• Combined In-person &amp; virtual (delivered both in-person and via a computer, computer networked, or mobile device)</li><li>• Other (describe)</li></ul>
2. Content	<ul style="list-style-type: none"><li>• Acquisition</li><li>• Creation</li><li>• Description</li><li>• Lending</li><li>• Preservation</li><li>• Other (describe)</li></ul>	<ul style="list-style-type: none"><li>• Digital (computer-mediated. The term includes commercial or not-commercial hardware, software, and/or data transfer connections and protocols, systems at any scale, and metadata)</li><li>• Physical (medium in or on which information [data, sound, images, etc.] is stored [for example, paper, film, magnetic tape or disk, etc.]. The medium may be encased in a protective housing made of another material [plastic, metal, etc.])</li><li>• Combined digital and physical</li></ul>

3. Planning & Evaluation	<ul style="list-style-type: none"> <li>• Prospective</li> <li>• Retrospective</li> </ul>	<ul style="list-style-type: none"> <li>• In-house</li> <li>• Third party</li> </ul>
4. Procurement	<ul style="list-style-type: none"> <li>• <b>This activity can only be used for projects with an Institutional Capacity intent, and is used sparingly.</b> It involves purchasing equipment/supplies, hardware/software, or other materials (not content) that support general library infrastructure. Most purchases are not “Procurement” activities in themselves, but rather are meant to support other activities, e.g., purchasing laptops for a learning lab would be part of an Instructional Activity; subscription to a data collection service would be part of a Content Creation Activity.</li> </ul>	<ul style="list-style-type: none"> <li>• n/a</li> </ul>

#### Item 23: Grant Timeline/Activities

This basic table is designed to show the major project activities and when they begin and end. Using this table, please briefly describe your major project activities and when they will occur (the grant period starts July 1, 2020 and ends August 31, 2021).

Activity	Month Started	Month Ended
Meet with children’s librarians to create reading kits	October 2020	October 2020
Order materials and put together reading kits	November 2020	March 2021

In the first example, there is only one meeting. In the second example it is an activity that will begin in November and be completed in March. Timeline activities should briefly tie into Element 2 and fully tie into Element 4 item B.

#### Item 24: Budget

The budget table is designed to provide detailed information about the requested funding. Please round all figures to the nearest dollar (ex. \$100 instead of \$99.95). There are several budget categories. The following describes what kinds of expenses should be put in each category. Each budget category on your application **requires** a brief explanation for the expenses.

##### Category

**Salaries/Wages /Benefits** Includes all salaries, wages, and fringe benefits paid to staff directly contributing to the project regardless of funding type (LSTA/Cash Match/In-kind). Description should include position titles (but not individual names) and number of hours, dollars per hour and FTE for each position. Please refer to Attachment B for guidance on calculating FTE for your project.

**Consultant Fees** All expenses related to acquiring the services of a consultant for a specific activity within the project should be included in this category. Please include here any costs for individuals contracted to manage and/or implement the project activities. Costs may include fees, travel, accommodation, and support services hired directly by the consultant.

**Travel** Travel costs must be related to the project activities and must be incurred by the library staff or formal partners working on the project, or by participants in project activities if their participation is essential and they must travel to participate. Costs may include airfare, ground transportation, accommodation, meals, etc. For airfare, economy class must be used at all times when using LSTA funds. Description should include number of travelers, who they are, and types of travel expenditures, including how costs are calculated. (Consultant travel must be included under the Consultant Fees category.)

Supplies/ Materials	<p><b>Supplies:</b> Must be project-specific (see Attachment C for information on allowed expenditures). May include: office or craft supplies, educational materials, books to give away as part of a project activity, small equipment (less than \$4,999 per unit), communication costs, postage, printing and photocopying, publicity, etc.</p> <p><b>Materials:</b> Books, periodicals, audiovisual formats, microforms, and other library materials to be part of the library's cataloged collection.</p> <p>Description should include quantities acquired and per-unit cost.</p>
Equipment (\$5,000 or more per unit)	A single item valued at \$5,000 or more per unit. Written approval from the IMLS Program Office is needed prior to the purchase of equipment over \$5,000 per unit. Requests must detail the proposed expenditure and reference the relevant LSTA 5 Year Plan. Approved items costing \$4,999 or under are considered small equipment and are reported under Supplies/Other.
Services	Project activities to be undertaken by a third-party contractor or vendor. Services that should be described here include items such as printing, subscriptions or licenses, project-specific media and marketing services, equipment and vehicle maintenance, and building equipment lease and rental. Description should include type of services provided and vendor names.
Indirect Costs	<p>An indirect cost is the applicant's incurred cost that cannot be readily isolated or identified with just one project or activity. These types of costs are often referred to as "overhead costs." Typical examples of indirect costs are general telephone service, postage, office supplies, office space expenses, and administrative or financial operations for an entire organization.</p> <p>You can choose to:</p> <ul style="list-style-type: none"> <li>• Not request any indirect costs.</li> <li>• Use a current approved indirect cost rate with a federal agency or one pending review to be approved by project award date, i.e. June 30. Federally negotiated indirect cost rates are negotiated agreements between federal agencies and non-profit organizations. If your organization already has an existing negotiated indirect cost rate in effect with another federal agency, you may use this rate to calculate total project costs, as long as you apply the rate in accordance with the terms of the negotiated agreement and include a copy of the current negotiated agreement with your grant application. We will only accept federally negotiated indirect cost rates that are current at the time awards are made. If you are unsure whether this applies to your library, consult the regulations below and your organization's grants, finance, and/or legal department to determine how to proceed. *</li> <li>• Use an indirect cost rate not to exceed 10% of modified total direct costs if you do not have a current or pending federally negotiated indirect cost rate and you are not subject to other requirements. Except for those non-Federal entities described in Appendix VII to 2 CFR Part 200 (States and Local Government and Indian Tribe Indirect Cost Proposals)**, you may choose to charge a de minimis rate of 10% of modified total direct costs (MTDC) if you have never had a federally negotiated indirect cost rate. State and local government departments that have never negotiated indirect cost rates with the Federal government and receive less than \$35 million in direct Federal funding per year may use the 10% de minimis indirect cost rate, as may Indian Tribes that have never negotiated indirect cost rates with the Federal government, and applicants must keep the documentation of this decision on file. MTDC means all direct salaries and wages, applicable fringe benefits, materials and supplies, services, travel, and subcontracts up to the first \$25,000 of each subcontract. MTDC excludes equipment, capital expenditures, rental costs, tuition remission, scholarships and fellowships, participant support costs, and the portion of each subcontract in excess of \$25,000. If you choose to use this rate, you must be careful to exclude from the budget all indirect-cost-type items, such as general telephone service, postage, office supplies and office space expenses, and administrative or financial operations for the applicant's entire organization. As long as you are an eligible entity and have never had a federally negotiated indirect cost rate, you may use this rate with no additional documentation required.</li> </ul> <p>For States, Local Governments, and Indian Tribes that receive more than \$35 million in direct Federal funding per year that have never had a federally negotiated indirect cost rate refer to Appendix VII ** for further information.</p>



\* More information can be found at:

[http://www.ecfr.gov/cgi-bin/text-idx?tpl=/ecfrbrowse/Title02/2cfr200\\_main\\_02.tpl](http://www.ecfr.gov/cgi-bin/text-idx?tpl=/ecfrbrowse/Title02/2cfr200_main_02.tpl)

\*\* For States, Local Governments, and Indian Tribes refer to aforementioned Appendix VII for further information:

[http://www.ecfr.gov/cgi-bin/textidx?SID=82e69a7bb23681b51e80b4cbdbc1546b&mc=true&node=ap2.1.200\\_1521.vi&rgn=div9](http://www.ecfr.gov/cgi-bin/textidx?SID=82e69a7bb23681b51e80b4cbdbc1546b&mc=true&node=ap2.1.200_1521.vi&rgn=div9)

#### **Cash Match & In-kind**

**In-kind:** Refers to the value put on materials, equipment, staff time or services that are given without charge to the program or organization. In this case the applicant should be able to substantiate the value assigned to the contributions and how they assist the project.

**Cash Match:** Refers to the applicant's estimated cash outlay, including money that may be contributed to the applicant by other public agencies and institutions, private organizations and/or individuals. If the applicant will be appropriating funds specifically for the project then that would be a cash match. In most cases an applicant's contribution will be in-kind.

**Unallowable In-kind and Cash Match funds include any funding, salaries, resources and/or services supported through other federal funding; and local funds used to purchase items that are not eligible for LSTA funding (see Attachment C for information on allowable/not allowable expenditures).**

#### **Item 25: LSTA Grants Risk Self-Assessment**

The purpose of this brief self-assessment is to help us determine the type of support that you will need from the State Library in terms of grant management and monitoring. Your answers will not affect your grant award.

#### **Item 26: Grant Application and Attachments**

Submit a PDF copy of the competed grant under Item 26 on Submittable. Include all supporting attachments as one PDF file.

Supporting attachments should provide data for information provided in the narrative. Examples of attachments include:

- letter of support from individuals or groups directly involved in the project;
- written agreements with formal partners (you must include these if you have formal partners who are contributing in-kind or cash-match resources);
- a list of contacts made or other projects visited;
- citations from reports supporting the needs statement;
- staff position descriptions;
- sample evaluation tools;
- other information that supports your grant narrative, e.g. information about research based models;
- description and expertise of any consultants to be used.

#### **Item 27: Internet Certification and Signature**

The Institute of Museum and Library Services establishes guidelines to ensure that the California State Library's implementation of the Children's Internet Protection Act (CIPA) complies with the 2003 decision of the US Supreme Court. The California State Library is required by 20 U.S.C. Section 9134(b)(7) to provide assurance that we will comply with 20 U.S.C. Section 9134(f), which sets out standards relating to Internet Safety for public libraries and public elementary school and secondary school libraries.

Under CIPA, California State Library must assure the Federal Government that no funds will be made available for public libraries and public elementary and secondary school libraries to purchase computers to access the Internet or pay for the direct costs of accessing the Internet unless the libraries have certified that they have Internet safety policies and technology protection measures, e.g., software filtering technology, in place. California State Library must collect certifications from libraries subject to CIPA that apply to the States for Library Services and Technology Act (LSTA) funding. Public libraries and public elementary and secondary school libraries must be in compliance with CIPA to obtain

IMLS State Program funding which will be used to purchase computers used to access the Internet or to pay for direct costs associated with accessing the Internet.

The director of a library applying for LSTA funding must certify that the library is one of the following:

**An individual applicant that is CIPA compliant.**

The applicant library, as a public library, a public elementary school library or a public secondary school library, has complied with the requirements of Section 9134(f)(1) of the Library Services and Technology Act.

**Representing a group of applicants. Those applicants that are subject to CIPA requirements have certified they are CIPA compliant.**

All public libraries, public elementary school libraries, and public secondary school libraries, participating in the application have complied with the requirements of Section 9134(f)(1) of the Library Services and Technology Act. The library submitting this application has collected Internet Safety Certifications from all other applicants who are subject to CIPA requirements. The library will keep these certifications on file with other application materials, and if awarded funds, with other project records.

**Not Subject to CIPA Requirements.**

CIPA requirements do not apply because no LSTA funds made available under this grant program will be used to purchase computers that can access the Internet or to pay for direct costs associated with accessing the Internet.

Please have your library director sign the application form, certifying your organization's CIPA status and authorization for this project.

**Application Submission**

Submit this application and all supporting documentations via Submittable by 4:00 p.m. Monday, May 18, 2020. You will receive an email confirmation that your application has been submitted successfully. A review team will review your application and submit the application on your behalf.

Upon receiving notification that the application has been submitted, please mail the original signature (Item 27) to the address below. The signature page must be received within 7 days of the receiving that email.

**By Mail:**

California State Library  
Library Development Services  
P.O. Box 942837  
Sacramento, CA 94237-0001  
Attn: LSTA Grants

**By Non-postal Delivery:**

California State Library  
Library Development Services  
900 N Street  
Sacramento, CA 95814-4813  
Attn: LSTA Grants

**Next Steps: Claim Process**

Award letters along with claims packet will be prepared and sent upon receipt of above signature pages.

After the State Library Fiscal Office has received your claim form, processing of funds can require 6-8 weeks before you receive your check.

If your full grant amount is \$20,000 or more, 10% of the grant award is withheld until the end of the project period, payable only if the grant recipient fulfills all project reporting requirements and expends all funds by the time specified in the grant program.

For grants over \$20,000, claims are submitted in three payments:

45% of award amount with the grant award letter

45% of award amount will be sent to library by end of October

10% of award amount after submission of final reports and reports indicate that all funds were expended

For further reference, this information is also included in the original award packet.

## DUNS Numbers

### Why does my library need a DUNS number?

Starting in 2011 IMLS (Institute of Museum and Library Services) required the California State Library to report information on federal Library Services and Technology Act grants that are awarded to your library. This requirement comes from the Federal Funding Accountability and Transparency Act (FFATA). This Act is intended to empower every American with the ability to hold the government accountable for each spending decision. Beginning in 2011/12 the State Library required this number to be included on all applications for Library Services and Technology Act funds.

### What is a DUNS number?

Dun & Bradstreet (D&B) provides a D-U-N-S number (Data Universal Numbering System), a unique nine digit identification number for commercial, non-profit or government entities. DUNS number assignment is FREE for all agencies required to register with the US Federal government for contracts and grants.

### How do I know if I have a DUNS number?

Many library jurisdictions may already have a DUNS number and possibly even have several DUNS numbers. The California State Library must use the **primary governmental entity** DUNS number assigned to the organization that the applicant is a part or section of when reporting FFATA obligations and expenditures. If your organization has multiple DUNS numbers, the primary DUNS number will usually be the first number listed. Go to <http://fedgov.dnb.com/webform> to verify the primary DUNS number for your organization. You may wish to contact the financial office for your governing entity to help identify the DUNS number.

### How do I request a DUNS number?

To request a new DUNS number, go to the Dun & Bradstreet website at <http://fedgov.dnb.com/webform>. You can also call 1-866-705-5711 to request a DUNS number over the phone. You will need the following information to obtain a DUNS number:

a.	Legal name of organization
b.	Tradestyle, Doing Business As (DBA), or other name by which your organization is commonly recognized
c.	Physical Address, City, State and Zip Code
d.	Mailing Address (if separate)
e.	Telephone Number
f.	Contact Name
g.	SIC Code (Line of Business) (SIC code for libraries is 8231)
h.	Total number of employees (full and part time)
i.	Headquarters name and address (if there is a reporting relationship to a parent corporate entity)

All questions regarding applications for the DUNS number should be directed to Dun & Bradstreet.

## TABLE FOR ESTIMATING TIME ALLOCATIONS (FTE)

## HOURLY

5 days/week: 40 hours/wk.	= 100%
4 days/week: 32 hours	= 80%
3 days/week: 24 hours	= 60%
2.5 days/week: 20 hours	= 50%
2 days/week: 16 hours	= 40%
1 days/week: 8 hours	= 20%
0.5 days/week: 4 hours	= 10%
0.25 days/week: 2 hours	= 5%
0.125 days/week: 1 hour	= 2.5%
0.0625 days/week: 0:48 min.	= 2%
0.01 days/week: 0:24 min.	= 1%

## DAYS/HOURS MONTHLY

249 days/yr.: 166 hours/mo.	= 100%
199 days/yr.: 133 hours/mo.	= 80%
149 days/yr.: 100 hours/mo.	= 60%
124 days/yr.: 83 hours/mo.	= 50%
100 days/yr.: 66 hours/mo.	= 40%
50 days/yr.: 33 hours/mo.	= 20%
25 days/yr.: 17 hours/mo.	= 10%
12 days/yr.: 8 hours/mo.	= 5%
6 days/yr.: 4 hours/mo.	= 2.5%
5 days/yr.: 3 hours/mo.	= 2%
2.5 days/yr.: 1.7 hours/mo.	= 1%

HOURLY BASIS: DIVIDE NO. OF HOURS BY 2080 (e.g. 150 total hours/2080= .07 FTE or 7%)

## RESTRICTIONS ON THE USE OF LSTA GRANT FUNDS

To clarify some of the more commonly-occurring questions regarding how Library Services and Technology Act (LSTA) funds can or cannot be used, please see the list of explanations below. These explanations have been extracted from the Code of Federal Regulations and list important highlights of allowable and unallowable costs. Administrators and project coordinators of LSTA grant projects are cautioned that they must abide by all regulations in conducting their projects and in allotting charges against grant funds. In cases of ambiguity, uncertainty, or questions in identifying allowable cost items under Federal procedures, contact Angie Shannon at [Angie.shannon@library.ca.gov](mailto:Angie.shannon@library.ca.gov). A complete list with descriptions can be found at [http://www.ecfr.gov/cgi-bin/text-idx?SID=03c9d1e056cd920512dbf61e5ee8117c&node=sp2.1.200.e&rgn=div6#\\_top](http://www.ecfr.gov/cgi-bin/text-idx?SID=03c9d1e056cd920512dbf61e5ee8117c&node=sp2.1.200.e&rgn=div6#_top)

### ADVERTISING AND PUBLIC RELATIONS

Advertising costs are allowable only when incurred for the recruitment of personnel, the procurement of goods and services, the disposal of scrap or surplus materials, and other specific purposes necessary to meet the requirements of the Federal award. Public relations costs are allowable when incurred to communicate with the public and press pertaining to specific activities or accomplishments that result from performance of the Federal award. Costs of advertising and public relations at conventions, meetings or other events, including displays, demonstrations, exhibits, meeting rooms, hospitality suites, and special facilities used in conjunction with shows and special events, and salaries of employees engaged in setting up and displaying exhibits, making demonstrations, and providing briefings are unallowable. Source: 2 CFR Part 200 Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards. See electronic code of federal regulations: [http://www.ecfr.gov/cgi-bin/text-idx?SID=03c9d1e056cd920512dbf61e5ee8117c&node=sp2.1.200.e&rgn=div6#se2.1.200\\_1420](http://www.ecfr.gov/cgi-bin/text-idx?SID=03c9d1e056cd920512dbf61e5ee8117c&node=sp2.1.200.e&rgn=div6#se2.1.200_1420)

### ALCOHOLIC BEVERAGES

Costs of alcoholic beverages are unallowable. Source: 2 CFR Part 200 Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards. See electronic code of federal regulations: [http://www.ecfr.gov/cgi-bin/text-idx?SID=03c9d1e056cd920512dbf61e5ee8117c&node=sp2.1.200.e&rgn=div6#se2.1.200\\_1423](http://www.ecfr.gov/cgi-bin/text-idx?SID=03c9d1e056cd920512dbf61e5ee8117c&node=sp2.1.200.e&rgn=div6#se2.1.200_1423)

### BUILDING, CONSTRUCTION, RENOVATION COSTS

Building, construction, or renovation costs are unallowable. Source: 2 CFR Part 200 Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards. See electronic code of federal regulations: [http://www.ecfr.gov/cgi-bin/text-idx?SID=b3756c0176b39f3b6aaa875e8a898f3f&node=sp2.1.200.e&rgn=div6#se2.1.200\\_1439](http://www.ecfr.gov/cgi-bin/text-idx?SID=b3756c0176b39f3b6aaa875e8a898f3f&node=sp2.1.200.e&rgn=div6#se2.1.200_1439) and [http://www.ecfr.gov/cgi-bin/text-idx?SID=b3756c0176b39f3b6aaa875e8a898f3f&node=sp2.1.200.e&rgn=div6#se2.1.200\\_1462](http://www.ecfr.gov/cgi-bin/text-idx?SID=b3756c0176b39f3b6aaa875e8a898f3f&node=sp2.1.200.e&rgn=div6#se2.1.200_1462) and [http://www.ecfr.gov/cgi-bin/text-idx?SID=bbc920f956dde264a6c822b902593fce&mc=true&node=se2.1.200\\_1452&rgn=div8](http://www.ecfr.gov/cgi-bin/text-idx?SID=bbc920f956dde264a6c822b902593fce&mc=true&node=se2.1.200_1452&rgn=div8) and [http://www.ecfr.gov/cgi-bin/text-idx?SID=bbc920f956dde264a6c822b902593fce&mc=true&node=se2.1.200\\_1439&rgn=div8](http://www.ecfr.gov/cgi-bin/text-idx?SID=bbc920f956dde264a6c822b902593fce&mc=true&node=se2.1.200_1439&rgn=div8)

### CONFERENCES

Costs of meetings and conferences, including meals, transportation, rental of meeting facilities, and other incidental costs, where the primary purpose is the dissemination of technical information, are allowable. Source: 2 CFR Part 200 Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards. See electronic code of federal regulations: [http://www.ecfr.gov/cgi-bin/text-idx?SID=03c9d1e056cd920512dbf61e5ee8117c&node=sp2.1.200.e&rgn=div6#se2.1.200\\_1432](http://www.ecfr.gov/cgi-bin/text-idx?SID=03c9d1e056cd920512dbf61e5ee8117c&node=sp2.1.200.e&rgn=div6#se2.1.200_1432)

### CONTRIBUTIONS, DONATIONS, HONORARIUMS, STIPENDS

Contributions and donations, including cash, property, and services, that use grant funds and are made by grant recipients to others, regardless of the recipient, are unallowable. Source: 2 CFR Part 200 Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards. See electronic code of federal regulations: [http://www.ecfr.gov/cgi-bin/text-idx?SID=03c9d1e056cd920512dbf61e5ee8117c&node=sp2.1.200.e&rgn=div6#se2.1.200\\_1434](http://www.ecfr.gov/cgi-bin/text-idx?SID=03c9d1e056cd920512dbf61e5ee8117c&node=sp2.1.200.e&rgn=div6#se2.1.200_1434)

(NOTE: Honorariums and stipends are also unallowable. Wages, salaries, reimbursements, payment for work done, and fees charged by speakers are allowable)

## **ENTERTAINMENT**

Costs of entertainment, including amusement, diversion, and social activities, and any costs directly associated with those, such as tickets to shows or sports events, meals, lodging, rentals, transportation, and gratuities are unallowable. Source: 2 CFR Part 200 Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards. See electronic code of federal regulations: [http://www.ecfr.gov/cgi-bin/text-idx?SID=03c9d1e056cd920512dbf61e5ee8117c&node=sp2.1.200.e&rgn=div6#se2.1.200\\_1438](http://www.ecfr.gov/cgi-bin/text-idx?SID=03c9d1e056cd920512dbf61e5ee8117c&node=sp2.1.200.e&rgn=div6#se2.1.200_1438)

## **FUND-RAISING**

Costs of organized fund-raising, including financial campaigns, solicitation of gifts and bequests, and similar expenses incurred to raise capital or to obtain contributions, are unallowable. Source: 2 CFR Part 200 Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards. See electronic code of federal regulations: [http://www.ecfr.gov/cgi-bin/text-idx?SID=03c9d1e056cd920512dbf61e5ee8117c&node=sp2.1.200.e&rgn=div6#se2.1.200\\_1442](http://www.ecfr.gov/cgi-bin/text-idx?SID=03c9d1e056cd920512dbf61e5ee8117c&node=sp2.1.200.e&rgn=div6#se2.1.200_1442)

## **GENERAL GOVERNMENT EXPENSES**

The general costs of government, including services normally provided to the general public, such as fire and police, are unallowable. Source: 2 CFR Part 200 Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards. See electronic code of federal regulations: [http://www.ecfr.gov/cgi-bin/text-idx?SID=03c9d1e056cd920512dbf61e5ee8117c&node=sp2.1.200.e&rgn=div6#se2.1.200\\_1444](http://www.ecfr.gov/cgi-bin/text-idx?SID=03c9d1e056cd920512dbf61e5ee8117c&node=sp2.1.200.e&rgn=div6#se2.1.200_1444)

## **INCOME FROM PROJECT**

Project income, e.g., fees charged for the use of library space in the context of a grant project, or to recover out of pocket project-related costs, or to create products such as manuals, or for other expenditures directly related to and used for the purposes of the grant and accrued under the conditions of the grant award, are allowable. Source: 2 CFR Part 200 Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards. See electronic code of federal regulations: [http://www.ecfr.gov/cgi-bin/text-idx?SID=ed6760751925ce944e80f0c721b0d006&node=se2.1.200\\_1307&rgn=div8](http://www.ecfr.gov/cgi-bin/text-idx?SID=ed6760751925ce944e80f0c721b0d006&node=se2.1.200_1307&rgn=div8)

## **LOBBYING**

The cost of certain influencing activities associated with obtaining grants, contracts, cooperative agreements or loans, is unallowable. Costs of membership in organizations substantially engaged in lobbying are unallowable. Source: 2 CFR Part 200 Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards. See electronic code of federal regulations: [http://www.ecfr.gov/cgi-bin/text-idx?SID=03c9d1e056cd920512dbf61e5ee8117c&node=sp2.1.200.e&rgn=div6#se2.1.200\\_1450](http://www.ecfr.gov/cgi-bin/text-idx?SID=03c9d1e056cd920512dbf61e5ee8117c&node=sp2.1.200.e&rgn=div6#se2.1.200_1450)

## **MEMBERSHIPS, SUBSCRIPTIONS, AND PROFESSIONAL ACTIVITIES**

Costs of the grant recipient's memberships in business, technical, and professional organizations are allowable. (NOTE: The State Library's policy is that use of LSTA funds for personal memberships in organizations is not permitted.) Subscriptions to business, professional, and technical periodicals are allowable. Source: 2 CFR Part 200 Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards. See electronic code of federal regulations: [http://www.ecfr.gov/cgi-bin/text-idx?SID=03c9d1e056cd920512dbf61e5ee8117c&node=sp2.1.200.e&rgn=div6#se2.1.200\\_1454](http://www.ecfr.gov/cgi-bin/text-idx?SID=03c9d1e056cd920512dbf61e5ee8117c&node=sp2.1.200.e&rgn=div6#se2.1.200_1454)

## **PREMIUMS, PRIZES, INCENTIVES, AND SOUVENIRS**

Costs of promotional items and memorabilia, including models, gifts, and souvenirs, are unallowable. See ADVERTISING AND PUBLIC RELATIONS (e)(3).

## **REFRESHMENTS**

See ENTERTAINMENT (unallowable), and MEMBERSHIPS, SUBSCRIPTIONS, AND PROFESSIONAL ACTIVITIES (allowable).

## **TRAINING**

The cost of training provided for employee development is allowable. Source: 2 CFR Part 200 Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards. See electronic code of federal regulations: [http://www.ecfr.gov/cgi-bin/text-idx?SID=03c9d1e056cd920512dbf61e5ee8117c&node=sp2.1.200.e&rgn=div6#se2.1.200\\_1472](http://www.ecfr.gov/cgi-bin/text-idx?SID=03c9d1e056cd920512dbf61e5ee8117c&node=sp2.1.200.e&rgn=div6#se2.1.200_1472)

## **TRAVEL EXPENSE**

Travel costs are allowable for expenses for transportation, lodging, subsistence, and related items incurred by employees traveling on official business. Charges should be consistent with those normally allowed in like circumstances of the grant recipient organization in its regular operations and policy, in non-federally sponsored activities. An exception to this is that car mileage reimbursement for all awarded LSTA grants cannot exceed the current state rate of 57.5 cents per mile (CPM). Reimbursement is the preferred method of payment for travel expenses. Source: 2 CFR Part 200 Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards. See electronic code of federal regulations: [http://www.ecfr.gov/cgi-bin/text-idx?SID=03c9d1e056cd920512dbf61e5ee8117c&node=sp2.1.200.e&rgn=div6#se2.1.200\\_1474](http://www.ecfr.gov/cgi-bin/text-idx?SID=03c9d1e056cd920512dbf61e5ee8117c&node=sp2.1.200.e&rgn=div6#se2.1.200_1474)

(NOTE: The State Library's policy on out-of-state travel and conferences is that they are generally not allowed. There are exceptions, however, based on the importance of the travel and/or conference to the grant. If your grant will include out-of-state travel or attendance at an out-of-state conference, consult with your grant monitor beforehand to obtain State Library approval before scheduling the trip or registering for the conference.)



## KEY DEFINITIONS FOR LSTA GRANT APPLICATIONS

### **Activity**

An Activity is an action or actions through which the Intent of a project is accomplished. For LSTA, there are four types of Activities: Instruction, Content, Planning/Evaluation, and Procurement (Procurement Activities may only be used with an Institutional Capacity Intent). Activities are further specified by Mode and Format. To include an Activity in your application, it must account for at least 10% of the total amount of resources committed to the project.

### **Consultant**

An individual providing expertise that directly supports LSTA project management or activities.

### **Services**

Specific services or resources acquired through a contract to a third party that are needed to fulfill the objectives of an LSTA grant project.

### **Intent**

An objective or expected result in a project. For LSTA, Intents are mapped to the six focal areas: Lifelong Learning, Information Access, Institutional Capacity, Employment and Economic Development, Human Services, or Civic Engagement. In terms of the grant application, your project may have only one Intent.

### **Mode**

Mode represents how an activity is delivered, created or experienced. Each type of Activity has specifically defined Modes.

### **Partner**

A Partner is a cooperating institution, designated through a formal, signed agreement, which contributes resources (materials/funds/staff) to a project Activity or Activities. Organizations or individuals who are contractors under the project are not partners.

### **Procurement**

Used sparingly, this activity type involves purchasing equipment/supplies, hardware/software, or other materials (not content) that support general library infrastructure. This activity can only be used for projects with Institutional Capacity as the intent. Most purchases are not procurement activities in themselves, but rather are meant to support other activities, for example, purchasing laptops for a learning lab would be part of an Instructional Activity; subscription to a data collection service would be part of a Content Creation Activity.

### **Project**

A set of discrete and interdependent activities carried out to achieve an intended outcome. Contains allocable resources (e.g., dollars spent, people responsible for accomplishing tasks, venue or service location(s), time spent).